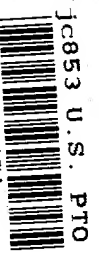


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Practitioner's Docket No. 14211.00002

PATENT

Preliminary Classification: Proposed Class: Subclass:

jc997 U.S. PTO
09/978163
10/15/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application
 Assistant Commissioner for Patents
 Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Peter Breuninger

For (title): A METHOD AND SYSTEM FOR MANAGING PORTFOLIO ACCOUNTS

1. Type of Application

This transmittal is for an original (nonprovisional) application.

CERTIFICATION UNDER 37 C.F.R. § § 1.8(a) and 1.10*
 (When using Express Mail, the Express Mail label number is mandatory;
 Express Mail certification is optional)

I hereby certify that, on the date shown below, this correspondence is being

☒ **MAILING**
 deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner of Patents, Washington D C 20231
37 C.F.R. 1.8(a)
☐ with sufficient postage as first class mail
☒ as "Express Mail Post Office to Addressee" Mailing Label
37 C.F.R. 1.10
 No. FL582442774US

☐ **TRANSMISSION**
 facsimile transmitted to the Patent and Trademark Office. 703 _____

Date: October 15, 2001

Todd Conway
 Signature
Todd Conway
 Type or print name of person certifying

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

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2. **Papers Enclosed**

A. Required for filing date under 37 C.F.R. 1.53(b) (Regular) or 37 C.F.R. 1.153 (Design)
Application

9 Page(s) of Specification
10 Page(s) of Claims
1 Sheet(s) of Drawing(s)--Informal

B. Other Papers Enclosed

1 Page(s) of abstract

3. **Declaration or Oath**

Not Enclosed.

4. **Inventorship Statement**

The inventorship for all the claims in this application is the same.

5. **Language**

English

6. **Fee Calculation (37 C.F.R. Section 1.16)**

Regular Application

CLAIMS AS FILED					
Claims	Number Filed	Basic Fee Allowance	Number Extra	Rate	Basic Fee 37 CFR 1.16(a) \$740.00
Total Claims (37 CFR 1.16(c))	39	- 20 =	19 x	\$18.00	\$342.00
Independent Claims (37 CFR 1.16(b))	12	- 3 =	9 x	\$84.00	\$756.00
Multiple Dependent Claim(s), if any (37 CFR 1.16(d))			+	\$280.00	\$0.00
Filing Fee Calculation					\$1,838.00

7. **Small Entity Statement(s)**

Applicant Claims Small Entity Status (See 37 CFR 1.27)

Filing Fee Calculation (50% of above)

\$919.00

8. **Fee Payment Being Made at This Time**

Not Enclosed

No filing fee is to be paid at this time.

9. **35 U.S.C. Section 119(e)**

This application claims the benefit of U.S. Provisional Application No.: 60/240.486, filed October 13, 2000.

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Signature of Practitioner

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